

# **AGENCY STRATEGIC PLAN**

**FOR THE FISCAL YEARS**

**2005-2009**



**ARKANSAS SECURITIES DEPARTMENT**

**FUNCTIONAL AREA: ECONOMIC DEVELOPMENT**

# **AGENCY STRATEGIC PLAN APPROVAL FORM**

**FOR THE FISCAL YEARS**

**2005-2009**

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**Michael Johnson**  
**Securities Commissioner**

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# STRATEGIC PLAN

<b>Agency Name</b>	Arkansas Securities Department
<b>Agency Mission Statement:</b>  To protect the financial well being of Arkansas citizens and promote an environment where the financial and capital markets function efficiently and without unnecessary regulatory impediments.	

## AGENCY GOAL 1:

To protect the financial interests of the public and promote an environment of economic stability without unnecessary regulatory impediments.

# STRATEGIC PLAN

<b>Agency Name</b>		Arkansas Securities Department
<b>Program</b>		Arkansas Securities Department State Operations
<b>Program Authorization</b>		ACA §§ 23-35-101 et seq; 23-37-101; 23-39-101 et seq; 23-41-101 et seq; 23-42-101 et seq; 23-43-101 et seq; and 20-17-1001 et seq.
<b>Program Definition:</b>  <b>Funds-Center Code:</b> <b><u>0410P01</u></b>		The Arkansas Securities Department performs the following duties: (1) Regulates state-chartered credit unions; (2) Regulates state-chartered savings and loan institutions; (3) Regulates mortgage loan companies and loan brokers; (4) Regulates the sale or issuance of checks; (5) Regulates those persons offering and selling securities as well as those offering investment advice; and (6) Regulates perpetual care cemeteries.
<b>AGENCY GOALS</b>	<b>1</b>	
<b>Anticipated Funding Sources for the Program:</b>		Special Revenues

## GOAL 1:

To license and register individuals and entities offering and selling securities, investments advice, and applicable services as well as educating the public about the securities industry.

### **OBJECTIVE 1: Sub-Fund Center Code to be assigned by DFA – Accounting)**

To license and register all persons and entities qualified for the provision of pertinent financial services to the public and resolve complaints of misconduct in a timely manner.

#### **STRATEGY 1:**

The Department will license and register all qualified persons and entities providing financial services to the public.

#### **STRATEGY 2:**

The Department will evaluate all complaints of misconduct and render an appropriate resolution in a timely manner.

#### **STRATEGY 3:**

The Investor Education Program will give presentations and provide resources to various public schools, civic and community groups.

# STRATEGIC PLAN

<b>Agency Name</b>	<b>Arkansas Securities Department</b>
<b>Program</b>	<b>Arkansas Securities Department State Operations</b>

## PERFORMANCE MEASURES: (Effort, Output, Outcome, and/or Efficiency)

DESCRIPTION	METHODS AND SOURCES USED OBTAINING DATA	FISCAL YEAR 2005	FISCAL YEAR 2006	FISCAL YEAR 2007	FISCAL YEAR 2008	FISCAL YEAR 2009
% of registrations/ applications processed within time guidelines Goal 1, Objective 1	Internal databases	90%	92%	94%	96%	98%
% of enforcement cases with initial response to complainant within 14 days Goal 1, Objective 1	Internal databases	80%	85%	90%	95%	98%
% of enforcement cases with response to complainant with determination of validity of case within 60 days Goal 1, Objective 1	Internal databases	80%	85%	90%	95%	98%
Number of presentations given to schools and organizations Goal1, Objective 1	Internal databases	70 presentations, 6000 participants	73 presentations, 6250 participants	76 presentations, 6500 participants	79 presentations, 6750 participants	82 presentations, 7000 participants